

12-07-01

A

Practitioner's Docket No. SW7277US

PATENT

Preliminary Classification:
Proposed Class:
Subclass:

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

BOX PATENT APPLICATION
Assistant Commissioner for Patents
Washington, D.C. 20231

JCE57 U.S. PTO
10/005008
12/04/01

NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of

Inventor(s): Mark L. Maxwell; Jonathan M. Wellum

For (title): PERFORMANCE PARTICIPATION AND REVENUE SHARING IN AN
INVESTMENT MANAGEMENT AFFINITY PROGRAM

1. Type of Application

This transmittal is for an original (nonprovisional) application.

CERTIFICATION UNDER 37 C.F.R. § 1.8(a) and 1.10*
(When using Express Mail, the Express Mail label number is mandatory;
Express Mail certification is optional)

I hereby certify that, on the date shown below, this correspondence is being:

MAILING

☒ deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner of Patents,
Washington D.C. 20231

37 CFR 1.8a

☐ with sufficient postage as first class mail.

37 CFR 1.10

☒ as "Express Mail Post Office to Addressee" Mailing Label
No. ET733224380US.

Date: December 4, 2001


Signature

Christine Goellner
Type or print name of person certifying

* Only the date of filing (§ 1.6) will be the date used in a patent term adjustment calculation, although the date on any certificate of mailing or transmission under § 1.8 continues to be taken into account in determining timeliness. See § 1.703(f). Consider "Express Mail Post Office to Addressee" (§ 1.10) or facsimile transmission (§ 1.6(d)) for the reply to be accorded the earliest possible filing date for patent term adjustment calculations.

2. Papers Enclosed

A. Required for filing date under 37 C.F.R. 1.53(b) (Regular) or 37 C.F.R. 1.153 (Design) Application

7 Page(s) of Specification

2 Page(s) of Claims

1 Sheet(s) of Drawing(s)--Formal

B. Other Papers Enclosed

3 Page(s) of declaration and power of attorney

1 Page(s) of abstract

3. Declaration or Oath

Enclosed and executed by the inventors.

4. Inventorship Statement

The inventorship for all the claims in this application is the same.

5. Language

English

6. Assignment

An assignment of the invention to MaxWellum Management Inc. is attached. A separate FORM PTO 1595 is also attached.

7. Fee Calculation (37 C.F.R. Section 1.16)

Regular Application

CLAIMS AS FILED

Claims	Number Filed	Basic Fee Allowance	Number Extra	Rate	Basic Fee 37 CFR 1.16(a) \$740.00
Total Claims (37 CFR 1.16(c))	4	- 20 =	0 x	\$18.00	\$0.00
Independent Claims (37 CFR 1.16(b))	1	- 3 =	0 x	\$84.00	\$0.00
Multiple Dependent Claim(s), if any (37 CFR 1.16(d))			+	\$280.00	\$0.00

Filing Fee Calculation

\$740.00

8. **Small Entity Statement(s)**

Statement that this is a filing by a small entity under 37 C.F.R. Sections 1.9 and 1.27 is no longer required.

Filing Fee Calculation (50% of above) \$370.00

9. **Fee Payment Being Made at This Time**

Enclosed

Filing Fee	\$370.00
Recording assignment (\$40; 37 C.F.R. Section 1.21(h)) (See attached "COVER SHEET FOR ASSIGNMENT ACCOMPANYING NEW APPLICATION".)	\$ 40.00
Total Fees Enclosed	\$410.00

10. **Method of Payment of Fees**

Check in the amount of \$410.00 is attached.

11. **Authorization to Charge Additional Fees**

The Commissioner is hereby authorized to charge the following additional fees by this paper and during the entire pendency of this application to Account No. 50-0537.

37 C.F.R. Section 1.16(a), (f) or (g) (filing fees)
37 C.F.R. Section 1.16(b), (c) or (d) (presentation of extra claims)

12. **Instructions as to Overpayment**

Credit Account No. 50-0537.

**ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF
PRIOR U.S. APPLICATION CLAIMED**

13. **Relate Back**

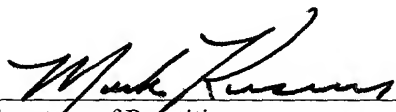
Amend the specification by inserting, before the first line, the following sentence:

A. **35 U.S.C. Section 119(e)**

"This application claims the benefit of U.S. Provisional Application No. 60/251,460 filed on December 5, 2000."

Date: December 4, 2001

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Signature of Practitioner

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PATENT TRADEMARK OFFICE